

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17075-019001/0123	Application No. 10/627,941
List of Patents and Publications for Applicant's Information Disclosure Statement			
		Applicant Michael Hendricksen et al.	
		Filing Date July 25, 2003	Group Art Unit 3743

### U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
/NP/	AA	2003/0070682	04/17/03	Wilson et al	128	207.16	10/10/02
	AB	2003/0070683	04/17/03	Deem et al.	128	207.16	11/22/02
	AC	2003/0075169	04/24/03	Deem et al.	128	200.19	11/22/02
	AD	2003/0075170	04/24/03	Deem et al.	128	200.19	11/22/02
	AE	2003/0164168	09/04/03	Shaw et al.	128	200.24	05/18/01
	AF	2003/0192550	10/16/03	Deem et al.	128	207.14	04/18/03
	AG	2003/0192551	10/16/03	Deem et al.	128	207.14	04/18/03
	AH	2003/0199972	10/23/03	Zadno-Azizi et al.	623	1.24	04/18/03
	AI	2003/0212452	11/13/03	Zadno-Azizi et al.	623	1.24	06/03/03
	AJ	2004/0016435	01/29/04	Deem et al.	128	207.14	07/29/03
	AK	2004/0039250	02/26/04	Tholfsen et al.	600	104	05/28/03
	AL	2004/0060563	04/01/04	Rapacki et al.	128	207.14	07/25/03
	AM	2004/0089306	05/13/04	Hundertmark et al.	128	207.14	05/28/03
	AN	2004/0134487	07/15/04	Deem et al.	128	200.19	11/06/03
	AO	2004/0154621	08/12/04	Deem et al.	128	206.24	10/15/03
	AP	2005/0016530	01/27/05	McCutcheon et al.	128	200.24	07/08/04
	AQ	2005/0051163	03/10/05	Deem et al.	128	200.24	11/06/03
	AR	2005/0066974	03/31/05	Fields et al.	128	207.14	05/28/03
	AS	4,774,942	10/04/88	Moellers	128	205.24	08/28/87
	AT	4,879,998	11/14/89	Moellers	128	205.24	05/06/88
	AU	4,990,151	02/05/91	Wallsten	606	108	09/18/89
	AV	5,158,548	10/27/91	Lau et al.	606	194	07/24/91
	AW	5,453,090	09/26/95	Martinez et al.	606	108	03/01/94
	AX	5,645,519	07/08/97	Lee et al.	600	114	03/18/94
	AY	5,649,906	07/22/97	Gory et al.	606	108	01/19/95
▼	AZ	5,803,080	09/08/98	Freitag	128	207.14	12/20/96
/NP/	BA	5,910,144	07/08/99	Hayashi	606	108	01/09/98

Examiner Signature /Nihir Patel/	Date Considered 01/04/2008
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				Filing Date July 25, 2003	Group Art Unit 3743

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
/NP/	BB	5,980,455	11/09/99	Daniel et al.	600	235	07/15/97
	BC	6,027,508	02/22/00	Ren et al.	606	108	10/03/96
	BD	6,190,381	02/20/01	Olsen et al.	606	32	01/21/98
	BE	6,247,471	06/19/01	Bower et al.	128	205.21	07/08/99
	BF	6,280,464	08/28/01	Hayashi	623	1.11	06/07/99
	BG	6,558,318	05/06/03	Daniel et al.	600	213	11/01/99
	BH	6,592,594	07/15/03	Rimbaugh et al.	606	108	10/25/01
	BI	6,632,243	10/14/03	Zadno-Azizi et al.	623	1.24	09/16/99
	BJ	6,679,264	01/20/04	Deem et al.	128	207.16	03/04/00
	BK	6,685,739	02/03/04	Di Matteo et al.	623	1.24	07/09/02
	BL	6,694,979	02/24/04	Deem et al.	128	207.14	03/02/01
↓	BM	6,699,231	02/02/04	Sterman et al.	604	509	12/30/98
/NP/	BN	6,840,243	01/11/05	Deem et al.	128	207.16	04/18/03

Foreign Patent Documents or Published Foreign Patent Applications						
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass
/NP/	BO	01/87170	11/22/01	PCT		
↓	BP	03/030975	04/17/03	PCT		
↓	BQ	03/099164	12/04/03	PCT		
/NP/	BR	04/010845	02/05/04	PCT		

Other Documents (include Author, Title, Date, and Place of Publication)						
Examiner Initial	Desig. ID	Document				

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<b>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</b> <b>INFORMATION DISCLOSURE STATEMENT</b> <small>UNDER 37 CFR § 1.56, § 1.97, and § 1.98</small> <b>FORM PTO-1449</b> <small>NOV 18 2003</small> <small>JCS 36</small> <small>PATENT &amp; TRADEMARK OFFICE</small>		APPLICATION SERIAL NO.: 10/627,941	ATTY DKT NO.: 38349-0123	CONFIRM NO.: 3677
		APPLICANTS: Hendrickson et al.	CUSTOMER NO.: 24961	
		FILING DATE: July 25, 2003	GROUP ART UNIT: 3761	
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U.S. PATENT DOCUMENTS						
† EX'R INITIAL	REF. #	PATENT NUMBER	DATE	NAME	U.S. CLASS/ SUBCLASS	FILING DATE (If appropriate)
/NP/	A	2003/0018327 (A1)	01/23/03	Truckai et al.	606/32	07/18/02
	B	2003/0018344 (A1)	01/23/03	Kaji et al.	606/130	07/19/02
	C	2003/0050648 (A1)	03/13/03	Alferness et al.	606/108	09/11/01
	D	2003/0083671(A1)	05/01/03	Rimbaugh et al.	606/108	10/25/01
	E	2003/0181922 (A1)	09/25/03	Alferness	606/108	03/20/02
	F	2003/0183235 (A1)	10/02/03	Rimbaugh et al.	128/207.15	04/17/03
	G	2002/0138135 (A1)	09/26/02	Duerig et al.	623/1.24	03/21/01
	H	2002/0112729 (A1)	08/22/02	DeVore et al.	128/207.15	02/21/01
	I	2002/0111620 (A1)	08/15/02	Cooper et al.	606/41	09/04/01
	J	2002/0111619 (A1)	08/14/02	Keast et al.	606/41	09/04/01
	K	2002/0095209 (A1)	07/18/02	Zadno-Azizi et al.	623/1.24	02/08/02
	L	2002/0087153 (A1)	07/04/02	Roschak et al.	606/27	09/04/01
	M	2002/0077696 A1	06/20/02	Zadno-Azizi et al.	623/1.24	02/21/02
	N	2002/0077593 (A1)	06/20/02	Perkins et al.	604/96.01	02/11/02
	O	2002/0062120 (A1)	05/23/02	Perkins et al.	604/516	12/13/01
	P	2002/0026233(A1)	02/28/02	Shaknovich	623/1.24	03/20/01
	Q	2002/0007831(A1)	1/24/02	Davenport et al.	128/200.24	07/18/01
	R	2001/0056274 (A1)	12/27/01	Perkins et al.	604/516	07/02/01
	S	2001/0052344 (A1)	12/20/01	Doshi	128/207	06/14/01
	T	2001/0051799 (A1)	12/13/01	Ingenito	604/516	04/20/01
↓	U	2001/0041906 (A1)	11/15/01	Gonzalez	606/191	07/24/01
/NP/	V	2001/0037808 A1	11/08/01	Deem et al.	128/200.24	03/02/01
EXAMINER'S SIGNATURE <i>/Nihir Patel/</i>						DATE CONSIDERED 01/04/2008

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		APPLICANTS: Hendrickson et al.	CUSTOMER NO.: 24961	
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### U.S. PATENT DOCUMENTS

/NP/	W	2001/0025132 (A1)	09/27/01	Alfemess et al.	600/37	02/09/01
	X	2,981,254	04/25/61	Vanderbilt	128/350	11/12/57
	Y	3,657,744	04/25/72	Ersek	128/334	05/08/70
	Z	3,788,327	01/29/74	Donowitz et al.	128/350	03/30/71
	AA	3,874,388	04/01/75	King et al.	128/334	02/12/73
	AB	4,014,318	03/29/77	Dockum et al.	128/1	05/22/75
	AC	4,086,665	05/02/78	Poirier	623/1	12/16/76
	B	4,212,463	07/15/80	Repinski et al.	273/418	02/17/78
	AD	4,250,873	02/17/81	Bonnet	600/104	04/17/78
	AE	4,302,854	12/01/81	Runge	3/1.7	06/04/80
	AF	4,477,930	10/23/84	Totten et al.	3/1.5	09/28/82
	AG	4,710,192	12/01/87	Liotta et al.	623/1	10/17/86
	AH	4,732,152	03/22/88	Wallsten et al	128/343	12/5/85
	AI	4,759,758	07/26/88	Gabbay	623/2	12/07/84
	AJ	4,795,449	01/03/89	Schneider et al.	604/329	08/04/86
	AK	4,808,183	02/28/89	Panje	623/9	06/03/80
	AL	4,819,664	04/11/89	Nazari	128/207.15	02/17/88
	AM	4,830,003	05/16/89	Wolff et al.	128/343	06/17/88
	AN	4,832,680	05/23/89	Haber et al.	600/31	07/03/86
	AO	4,846,836	07/11/89	Reich	623/11	10/03/88
▼	AP	4,850,999	07/25/89	Planck	623/1	05/26/81
/NP/	AQ	4,852,568	08/01/89	Kensey	128/325	12/28/87

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		FILING DATE: July 25, 2003	GROUP ART UNIT: 3761	



### U.S. PATENT DOCUMENTS

/NP/	AR	4,877,025	10/31/89	Hanson	128/107.16	10/06/88
	AS	4,934,999	06/19/90	Bader	600/29	07/28/88
	AT	4,968,294	11/06/90	Salama	600/30	02/09/89
	AU	5,061,274	10/29/91	Kensey	606/213	12/04/89
	AV	5,116,360	05/26/92	Pinchuk et al.	623/1	12/27/90
	AW	5,116,564	05/26/92	Jansen et al.	264/255	10/10/89
	AX	5,123,919	06/23/92	Sauter et al.	623/2	06/23/92
	AY	5,151,105	09/29/92	Kwan-Gett	623/1	10/07/91
	AZ	5,161,524	11-92	Evans	128/203.15	
	BA	5,306,234	04/26/94	Johnson	604/49	03/23/93
	BB	5,352,240	10/04/94	Ross	623/2	05/31/89
	BC	5,358,518	10/25/94	Camilli	623/2	01/25/93
	BD	5,366,478	11/22/94	Brinkerhoff et al.	660/213	07/27/93
	BE	5,382,261	01/17/95	Palmaz	606/158	09/01/92
	BF	5,392,775	02/28/95	Adkins et al.	128/207.16	03/22/94
	BG	5,409,019	04/25/95	Wilk	128/898	11/03/93
	BH	5,411,507	05/02/95	Heckele	606/108	01/05/94
	BI	5,411,552	05/02/95	Andersen et al.	623/2	06/14/94
	BJ	5,413,599	05/09/95	Imachi et al.	623/2	12/13/93
↓	BK	5,417,226	05/23/95	Juma	128/885	06/09/94
	BL	5,445,626	08/29/95	Gigante	604/349	06/03/94
/NP/	BM	5,486,154	01/23/96	Kelleher	600/104	06/08/93

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<b>FORM PTO-1449</b>  		APPLICANTS: Hendrickson et al.	CUSTOMER NO.: 24961	
		FILING DATE: July 25, 2003	GROUP ART UNIT: 3761	
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### U.S. PATENT DOCUMENTS

/NP/	BN	5,499,995	03/19/96	Teirstein	606/192	05/25/94
	BO	5,500,014	03/19/96	Quijano et al.	623/2	05/09/96
	BP	5,562,608	10/08/96	Sekins et al.	604/20	04/13/95
	BQ	5,645,565	07/08/97	Rudd et al.	606/213	06/13/93
	BR	5,660,175	08/26/97	Dayal	128/207.15	08/21/95
	BS	5,662,713	09/02/97	Andersen et al.	623/12	09/14/95
	BT	5,683,451	11/04/97	Lenker et al.	623/1	06/07/95
	BU	5,697,968	12/16/97	Rogers et al.	623/1	08/10/95
	BV	5,755,770	5/26/98	Ravenscroft	623/1	01/31/95
	BW	5,800,339	09/01/98	Salama	600/29	05/02/97
	BX	5,840,081	11/24/98	Andersen et al.	623/2	02/19/97
	BY	5,851,232	12/22/98	Lois	623/1	3/13/97
	BZ	5,855,587	01/05/99	Hyon et al.	606/188	08/22/96
	CA	5,855,597	01/05/99	Jayaraman	623/1	05/07/97
	CB	5,855,601	01/05/99	Bessler et al.	623/2	06/21/96
	CC	5,944,738	08/31/99	Amplatz et al.	606/213	02/06/98
	CD	5,947,997	09/07/99	Pavcnik et al.	606/213	06/30/97
	CE	5,954,766	09/21/99	Zadno-Azizi et al.	623/2	09/16/97
	CF	5,957,949	09/28/99	Leonhardt et al.	606/194	05/01/97
↓	CG	5,976,174	11/02/99	Ruiz	606/213	12/15/97
	CH	5,984,965	11/16/99	Knapp et al.	623/12	08/28/97
/NP/	CI	6,007,575	12/28/99	Samuels	623/1	06/06/97

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### U.S. PATENT DOCUMENTS

/NP/	CJ	6,009,614	01/04/00	Morales	29/516	04/21/98
	CK	6,020,380	02/01/00	Killian	514/570	11/25/98
	CL	6,022,312	02/08/00	Chaussy et al.	600/29	02/20/98
	CM	6,027,525	02/22/00	Suh et al.	623/1	05/23/97
	CN	6,051,022	04/18/00	Cai et al.	623/2	12/30/98
	CO	6,068,635	05/30/00	Gianotti	606/108	06/04/98
	CP	6,068,638	05/30/00	Makower	606/159	10/27/98
	CQ	6,077,291	06/20/00	Das	606/213	11/26/96
	CR	6,083,255	07/04/00	Laufer et al.	607/96	12/19/97
	CS	6,123,663	09/26/00	Rebuffat	A61F2/00	12/23/98
	CT	6,135,729	10/24/00	Aber	417,420	07/09/99
	CU	6,135,991	10/24/00	Muni et al.	604/509	03/27/98
	CV	6,141,855	11/07/00	Morales	29/516	04/28/98
	CW	6,162,245	12/19/00	Jayaraman	623/1.15	01/05/99
	CX	6,168,614 (B1)	01/02/01	Andersen et al.	623/1	02/20/98
	CY	6,174,323 (B1)	01/16/01	Biggs et al.	606/232	06/05/98
	CZ	6,183,520 (B1)	02/06/01	Pintauro et al.	623/23.64	11/10/98
	DA	6,200,333 (B1)	03/13/01	Laufer	607/96	12/31/98
	DB	6,206,918 (B1)	03/27/01	Campbell et al.	623/2.32	05/12/99
	DC	6,234,996 (B1)	05/22/01	Bagaoisan et al.	604/97.01	06/23/99
	DD	6,240,615 (B1)	06/05/01	Kimes et al.	29/516	09/30/99
	DE	6,245,102 (B1)	06/12/01	Jayaraman	623/1.15	07/21/99
	DF	6,258,100	07/11/01	Alferness et al.	606/108	10/10/00
/NP/	DG	6,270,527 (B1)	08/07/01	Campbell et al.	623/2.18	10/16/98

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 Sheet 6 of 11		APPLICANTS: Hendrickson et al.	CUSTOMER NO.: 24961	
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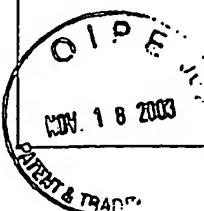
U.S. PATENT DOCUMENTS						
/NP/	DH	6,287,290 (B1)	09/11/01	Perkins et al.	604/516	07/02/99
	DI	6,293,951 (B1)	09/25/01	Alfemess et al.	606/108	08/24/99
	DJ	6,302,893 (B1)	10/16/01	Limon et al.	606/108	06/19/00
	DK	6,312,407 (B1)	11/06/01	Zadno-Azizi et al.	604/103.03	02/19/98
	DL	6,325,777 (B1)	12/04/01	Zadno-Azizi et al.	604/97.01	10/01/99
	DM	6,325,778 (B1)	12/04/01	Zadno-Azizi et al.	604/99.02	01/01/99
	DN	6,327,772 (B1)	12/11/01	Zadno-Azizi et al.	29/557	04/13/99
	DO	6,328,689 (B1)	12/11/01	Gonzalez	600/37	03/23/00
	DP	6,355,014 (B1)	03/12/02	Zadno-Azizi et al.	604/99.02	03/13/98
	DQ	6,398,775 (B1)	06/04/02	Perkins et al.	604/514	10/21/99
	DR	6,402,754 (B1)	06/11/02	Gonzalez	606/69	10/20/99
	DS	6,416,554 (B1)	07/09/02	Alfemess et al.	623/23.65	08/24/99
	DT	6,458,076	10/01/02	Pruitt	600/146	02/01/00
	DU	6,485,407 (B2)	11/26/02	Alfemess et al.	600/37	02/09/01
	DV	6,491,706 (B1)	12/10/02	Alfemess et al.	606/157	07/10/01
↓	DW	6,493,589 (B1)	12/10/02	Medhkour et al.	607/99	08/10/00
	DX	6,510,846 (B1)	01/28/03	O'Rourke	128/200.21	10/26/00
/NP/	DY	6,527,761 (B1)	03/04/03	Soltesz et al.	604/516	10/27/00

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<b>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</b> <b>INFORMATION DISCLOSURE STATEMENT</b> <b>UNDER 37 CFR § 1.56, § 1.97, and § 1.98</b> <b>FORM PTO-1449</b>		APPLICATION SERIAL NO.: 10/627,941	ATTY DKT NO.: 38349-0123	CONFIRM NO.: 3677
Sheet 7 of 11		APPLICANTS: Hendrickson et al.	CUSTOMER NO.: 24961	
		FILING DATE: July 25, 2003	GROUP ART UNIT: 3761	



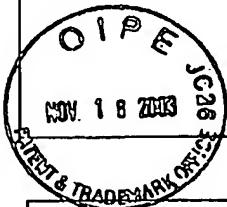
FOREIGN PATENT DOCUMENTS					
† EX'R INITIAL	REF. #	Patent Number	Date	Country	TRANSLATION (YES/NO)
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	EA	00/42950	07/27/00	PCT	
	EB	00/51510	09/08/00	PCT	
	EC	00/62699	10/26/00	PCT	
	ED	00/78386 (A1)	12/28/00	PCT	
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	EF	01/02042 (A1)	01/11/01	PCT	
	EG	01/03642 (A1)	01/18/01	PCT	
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	EJ	01/10314 (A2)	02/15/01	PCT	
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	EL	01/13839 (A1)	03/01/01	PCT	
	EM	01/13908 (A2)	03/01/01	PCT	
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▼	EO	01/45590 (A2)	06/28/01	PCT	
/NP/	EP	01/49213 (A2)	07/12/01	PCT	

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		APPLICANTS: Hendrickson et al.	CUSTOMER NO.: 24961	
		FILING DATE: July 25, 2003	GROUP ART UNIT: 3761	



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	EV	01/87170 (A1)	11/22/01	PCT
	EW	01/89366 (A2)	11/29/01	PCT
	EX	01/95786 (A2)	12/20/01	PCT
	EY	02/05884 (A2)	1/24/02	PCT
	EZ	02/22072 (A2)	03/21/02	PCT
	FA	02/32333 (A1)	04/25/02	PCT
	FB	02/34322 (A2)	05/02/02	PCT
	FC	02/38038 (A2)	05/16/02	PCT
	FD	02/47575 (A2)	06/20/02	PCT
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	FF	02/064045 (A1)	08/22/02	PCT
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/NP/	FI	02/094087 (A1)	11/28/02	PCT

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<b>FORM PTO-1449</b>  <div style="text-align: center;">Sheet 9 of 11</div>		APPLICANTS: Hendrickson et al.	CUSTOMER NO.: 24961	
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	FM	0621 015 (A1)	10/26/94	EP	
	FN	0621 015 (B1)	10/26/94	EP	
	FO	1,371,700	02/07/88	SU	X
	FP	1,593,651	09/23/90	SU	X
	FQ	1 078 601 (A2)	02/28/01	EP	
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	FS	2140211	10/27/99	RU	X
	FT	2324729	04/11/98	GB	
	FU	852321	07/08/81	SU	X
	FV	94/26175	11/24/94	PCT	
	FW	95/32018	11/30/95	PCT	
	FX	96/34582	11/07/96	PCT	X+
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		APPLICANTS: Hendrickson et al.	CUSTOMER NO.: 24961	
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	GF	99/13801	03/25/99	PCT	
	GG	99/26692	06/03/99	PCT	
	GH	99/32040	07/01/99	PCT	
	GI	99/42059	08/26/99	PCT	
▼	GJ	99/42161	08/26/99	PCT	
/NP/	GK	99/64109 (A1)	12/16/99	PCT	

English Language Derwent is enclosed.

English Language Equivalent is enclosed.

OTHER DOCUMENTS		
† EX'R INITIAL	REF. #	CITATION (Author, Article Title, Journal/Book Title, Date, Pertinent Pages, etc.)
/NP/	GL	Al Jishi et al., "Selective Bronchial Occlusion for Treatment of Bullous Interstitial Emphysema and Bronchopleural Fistula." <i>J. of Pediatric Surgery</i> , 29:1545-1547, 1994
/NP/	GM	Article: "Autocath® 100 – Nonsurgical, Intraurethral Bladder Control Device for Incontinent and Retentive Women – Dr. Kulisz's Development"
/NP/	GN	Derwent citing Russian Patent No. RU 2140211, published 10/27/99, for: "Method of surgical treatment of patients with pathology of respiratory organs complicated with pulmonary hemorrhages"

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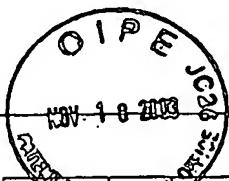
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 INFORMATION DISCLOSURE STATEMENT  
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10/627,941	38349-0123	3677
APPLICANTS: Hendrickson et al.	CUSTOMER NO.: 24961	
FILING DATE: July 25, 2003	GROUP ART UNIT: 3761	

/NP/ TRADEMARK	Derwent citing Soviet Union Patent No. SU 852-321, published 07/08/81, for: "Treatment for acute pulmonary and pleural disease in children - by pneumo-abcessotomy simultaneous with occlusion of affected lung part"	
	GP	Derwent# 007607249 WPI Acc. No: 1988-241181/198834 (citing Russian Application No. SU4026409, published February 21, 1986), Russian Patent No. SU 1371700
	GQ	Derwent# 008650867 WPI Acc. No: 1991-154896/199121 (citing Russian Application No. SU4280143, published July 07, 1987), Russian Patent No. SU 1593651
	GR	Harris et al., "The Experimental Production in Dogs of Emphysema with Associated Asthmatic Syndrome by Means of an Intratracheal Ball Valve", <i>J. Lab. Clin. Med.</i> , 9(iv):75-88, 1919
	GS	Lewis et al., "Pulmonary Interstitial Emphysema: Selective Bronchial Occlusion with a Swan-Ganz Catheter", <i>Archives of Disease in Childhood</i> , 63:313-315, 1988
	GT	Mathew et al., "Selective bronchial obstruction for treatment of bullous interstitial emphysema." <i>J. of Ped.</i> , 96:475-477, 1980
	GU	Okada et al., "Emergent Bronchofiberoptic Bronchial Occlusion for Intractable Pneumothorax with Severe Emphysema", <i>The Jap. J. of Thor. And Cardio. Sur.</i> , 46:1078-1081, 1998
	GV	Puhakka et al., "Acute Bronchial Obstruction: An Experimental Rabbit Model Study", <i>Int. J. of Pediatric Otorhinolaryngology</i> , 18:107-118, 1989
↓	GW	Snider et al., <u>The Definition of Emphysema</u> : Report of the National Heart Lung and Blood Institute, Division of Lung Diseases Workshop, <i>Am. Rev. Respir. Dis.</i> , 132:182-185, 1985
/NP/	GX	Woodring et al., "Pneumothorax ex Vacuo", <i>CHEST</i> , 100:1102-1124, 1996

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/Nihir Patel/	01/04/2008

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